

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: To Be Assigned  
Applicant: Ming Li et al.  
Filed: Herewith  
Title: METHOD FOR MODIFYING EXISTING MICRO- AND NANO-STRUCTURES  
USING A NEAR-FIELD SCANNING OPTICAL MICROSCOPE  
TC/A.U.: To Be Assigned  
Examiner: To Be Assigned  
Docket No.: MATG-395US

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (RP) submitted herewith. A copy of each of the listed references is also enclosed.

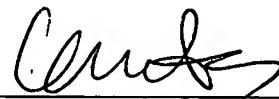
Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

References JP 2001-239390, JP 2001-111200, JP 11-16856 are not in the English language, an English translation thereof is attached to the copy of the reference JP 2001-239390 submitted herewith and an English abstract thereof is attached to the copies of the references JP 2001-111200 and JP 11-16856 submitted herewith.

This Information Disclosure Statement is being filed concurrently with the above-referenced application.

Respectfully submitted,



\_\_\_\_\_  
Kenneth N. Nigon, Reg. No. 31,549  
Attorney(s) for Applicant(s)

KNN/tmb

Enclosures: PTO Form 1449  
(5) References  
Transmittal Form

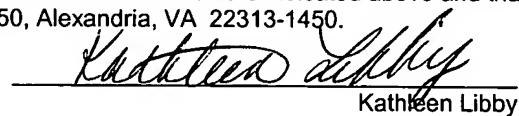
Dated: March 30, 2004

P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

**EXPRESS MAIL**      Mailing Label Number:      EV 426 717 704 US  
                            Date of Deposit:      March 30, 2004

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Kathleen Libby  
\_\_\_\_\_  
Kathleen Libby

Substitute for Form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 2

*Complete if Known*

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Ming Li et al.
Art Unit	To Be Assigned
Examiner Name	To Be Assigned

Attorney Docket No. MATG-395US

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	1.	JP 2001-239390 A	09/04/2001	Nippon Kikyumen Lens KK; Jitsuno Takahisa	Entire Document	<input checked="" type="checkbox"/>
	2.	JP 2001-111200 A	04/20/2001	Matsushita Electric IND CO LTd	Entire Document	<input type="checkbox"/>
	3.	JP 11-16856	01/22/1999	Kanagawa Kagaku Gijutsu Akad	Entire Document	<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449B/PTO		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	To Be Assigned
		Filing Date	Herewith
		First Named Inventor	Ming Li et al.
		Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
SHEET 2 of 2		Attorney Docket No.	MATG-395US

## NON-PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

**<sup>1</sup>Applicant's unique citation designation number (optional).**

<sup>2</sup>Applicant is to place a check mark here if English language translation is attached.

Applicant is to place a check mark here if English language translation is attached.  
The collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
**SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.